

Form PTO-1390

TRANSMITTAL LETTER TO THE UNITED STATES  
DESIGNATED/ELECTED OFFICE (DO/EO/US)  
CONCERNING A FILING UNDER 35 U.S.C. 371

EXPRESS MAIL LABEL NO.: EV 915326516 US

ATTORNEY'S DOCKET NUMBER: **21108.0028U2**

U.S. APPLICATION NO. (if known, see 37 CFR 1.5)

**10/551,833**

INTERNATIONAL APPLICATION NO.

**PCT/US2004/010328**

INTERNATIONAL FILING DATE

**2 April 2004**

PRIORITY DATE CLAIMED

**4 April 2003**

TITLE OF INVENTION:

**IDENTIFICATION OF NOVEL NOGO-RECEPTORS AND METHODS RELATED THERETO**

APPLICANT(S) FOR DO/EO/US:

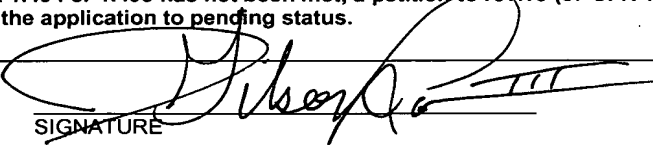
**GIGER**

Applicant herewith submits to the United States Designated/Elected Office (DO/EO/US) the following items and other information:

1. ☐ This is a **FIRST** submission of items concerning a filing under 35 U.S.C. 371.
2. ☒ This is a **SECOND** or **SUBSEQUENT** submission of items concerning a filing under 35 U.S.C. 371.
3. ☐ This is an express request to begin national examination procedures (35 U.S.C. 371(f)). The submission must include items (5), (6), (9) and (21) indicated below.
4. ☐ The US has been elected (Article 31).
5. ☐ A copy of the International Application as filed (35 U.S.C. 371(c)(2))
  - a. ☐ is attached hereto (required only if not communicated by the International Bureau).
  - b. ☐ has been communicated by the International Bureau.
  - c. ☐ is not required, as the application was filed in the United States Receiving Office (RO/US).
6. ☐ An English language translation of the International Application as filed (35 U.S.C. 371(c)(2))
  - a. ☐ is attached hereto.
  - b. ☐ has been previously submitted under 35 U.S.C. 154(d)(4).
7. ☐ Amendments to the claims of the International Application under PCT Article 19 (35 U.S.C. 371(c)(3))
  - a. ☐ are attached hereto (required only if not communicated by the International Bureau).
  - b. ☐ have been communicated by the International Bureau.
  - c. ☐ have not been made; however, the time limit for making such amendments has NOT expired.
  - d. ☐ have not been made and will not be made.
8. ☐ An English language translation of the amendments to the claims under PCT Article 19 (35 U.S.C. 371(c)(3)).
9. ☒ An oath or declaration of the inventor(s) (35 U.S.C. 371(c)(4)).
10. ☐ An English language translation of the annexes of the International Preliminary Examination Report under PCT Article 36 (35 U.S.C. 371(c)(5)).

Items 11 to 20 below concern document(s) or information included:

11. ☐ An Information Disclosure Statement under 37 CFR 1.97 and 1.98.
12. ☐ An assignment document for recording. A separate cover sheet in compliance with 37 CFR 3.28 and 3.31 is included.
13. ☒ A preliminary amendment.
14. ☐ An Application Data Sheet under 37 CFR 1.76.
15. ☐ A substitute specification.
16. ☐ A power of attorney and/or change of address letter.
17. ☒ A computer-readable form of the sequence listing in accordance with PCT Rule 13ter.2 and 35 U.S.C. 1.821-1.825. The contents of the paper copy and the computer-readable form of the Sequence Listing submitted herewith are the same and include no new matter, as required by 37 C.F.R. 1.821(f).
18. ☐ A second copy of the published international application under 35 U.S.C. 154(d)(4).
19. ☐ A second copy of the English language translation of the international application under 35 U.S.C. 154(d)(4).
20. Other items or information:

U.S. APPLICATION NO. (if known, see 37 CFR 1.5) <b>PCT/US04/010328</b>		INTERNATIONAL APPLICATION NO. <b>10/551,833</b>		ATTORNEY DOCKET NUMBER <b>21108.0028U2</b>	
The following fees have been submitted				CALCULATIONS	PTO USE ONLY
21. <input type="checkbox"/> Basic national fee .....\$300.00				\$	
22. <input type="checkbox"/> Examination fee If written opinion prepared by ISA/US or the IPER prepared by IPEA/US indicates all claims satisfy provisions of PCT Article 33(1)-(4) .....\$ 0.00 All other situations .....\$200.00				\$ *****	
23. <input type="checkbox"/> Search Fee If written opinion prepared by ISA/US or the IPER prepared by IPEA/US indicates all claims satisfy provisions of PCT Article 33(1)-(4) .....\$ 0.00 If Search fee (37 CFR 1.445(a)(2) in International Application to USPTO as ISA.....\$100.00 ISR prepared by an ISA other than the US and provided to USPTO.....\$400.00 All other situations .....\$500.00				\$ *****	
TOTAL OF 21, 22 AND 23 =				\$ *****	
<input type="checkbox"/> Additional fee for specification and drawings filed in paper over 100 sheets (excluding sequence listing or computer program listing filed in an electronic medium). The fee is \$250 for each additional 50 sheets of paper or fraction thereof.					
Total Sheets	Extra Sheets	No. of each additional 50 or fraction thereof (round up to a whole number)	RATE		
- 100	/ 50 =		X \$250	\$ ****	
Surcharge of \$130.00 for furnishing the oath or declaration later than 30 months from the earliest claimed priority date (37 CFR 1.492(e)).				\$ ****	
CLAIMS	NUMBER FILED	NUMBER EXTRA	RATE		
Total claims	[****] - 20 =	*****	X \$50.00	\$*****	
Independent claims	[***] - 3 =	*****	X \$200.00	\$*****	
MULTIPLE DEPENDENT CLAIM(S) (if applicable)			+ \$360.00	\$*****	
TOTAL OF ABOVE CALCULATIONS =				\$*****	
<input type="checkbox"/> Applicant claims small entity status. See 37 CFR 1.27. Fees above are reduced by 1/2 -				\$*****	
SUBTOTAL =				\$*****	
Processing fee of \$130.00 for furnishing the English translation later than <input type="checkbox"/> 20 months <input type="checkbox"/> 30 months from the earliest claimed priority date (37 CFR 1.492(f)).				\$*****	
TOTAL NATIONAL FEE =				\$*****	
Fee for recording the enclosed assignment (37 CFR 1.21(h)). The assignment must be accompanied by an appropriate cover sheet (37 CFR 3.28, 3.31) \$40.00 per property +				\$*****	
TOTAL FEES ENCLOSED =				\$0.00	
				Amount to be refunded:	\$
				charged:	\$
a. <input type="checkbox"/> A check in the amount of \$_____ to cover the above fees is enclosed. b. <input type="checkbox"/> Please charge my Deposit Account No.14-0629 in the amount of \$_____ to cover the above fees. A duplicate copy of this sheet is enclosed. c. <input checked="" type="checkbox"/> The Commissioner is hereby authorized to charge any additional fees, which may be required, or credit any overpayment to Deposit Account No. 14-0629. A duplicate copy of this sheet is enclosed. d. <input type="checkbox"/> Fees are to be charged to a credit card. <b>WARNING:</b> Information on this form may become public. <b>Credit card information should not be included on this form.</b> Provide credit card information and authorization on PTO-2038. e. <input checked="" type="checkbox"/> Pursuant to 37 C.F.R. §1.136(a)(3), the Commissioner is hereby requested and authorized to treat any concurrent or future reply in the above-identified application, requiring a petition for an extension of time for its timely submission, as incorporating a petition for extension of time for the appropriate length of time.					
<b>NOTE:</b> Where an appropriate time limit under 37 CFR 1.494 or 1.495 has not been met, a petition to revive (37 CFR 1.137 (a) or (b) must be filed and granted to restore the application to pending status.					
SEND ALL TO THE ADDRESS ASSOCIATED WITH: : Customer No. 23859					
<div style="text-align: right;">   SIGNATURE  LANIER, J. Gibson, III  NAME  57,519  REGISTRATION NUMBER </div>					

**IN THE UNITED STATES PATENT AND TRADEMARK OFFICE**

In re Application of	)	
	)	
<b>Roman Giger</b>	)	
	)	
U.S. Application No. 10/551,833	)	Art Unit: <b>Unassigned</b>
	)	
Int'l. Filing Date: <b>April 2, 2004</b>	)	Examiner: <b>Unassigned</b>
	)	
For: <b>"IDENTIFICATION OF NOVEL NOGO- RECEPTORS AND METHODS RELATED THERETO"</b>	)	Confirmation No.: <b>3920</b>
	)	

**RESPONSE TO NOTIFICATION OF MISSING REQUIREMENTS TRANSMITTAL**

Mail Stop PCT  
Commissioner for Patents  
P.O. Box 1450  
Alexandria, VA 22313-1450

NEEDLE & ROSENBERG, P.C.  
Customer Number 23859

Sir:

In response to the Notification of Missing Requirements under 35 U.S.C. 371 in the United States Designated/Elected Office dated May 22, 2006 regarding the above-referenced patent application, enclosed are:

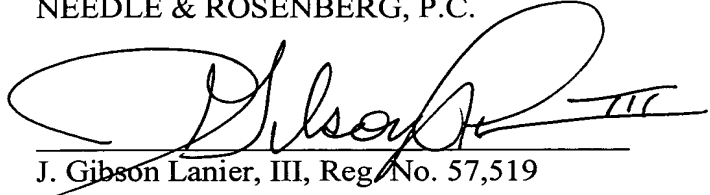
1. A copy of the Notification of Missing Requirements under 35 U.S.C. §371 in the United States Designated/Elected Office;
2. An executed Declaration and Power of Attorney for Patent Application;
3. A paper copy of the Sequence Listing;
4. A computer-readable copy of the Sequence Listing; and
5. A Preliminary Amendment.

ATTORNEY DOCKET NO. 21108.0022U2  
APPLICATION NO. 10/551,833  
PATENT

No fee is believed due; however, the Commissioner is hereby authorized to charge any additional fees which may be required, or credit any overpayment to Deposit Account No. 14-0629.

Respectfully submitted,

NEEDLE & ROSENBERG, P.C.

A handwritten signature in black ink, appearing to read "J. Gibson Lanier, III", is written over a horizontal line.

J. Gibson Lanier, III, Reg No. 57,519

NEEDLE & ROSENBERG, P.C.  
Customer Number 23859  
(678) 420-9300 (telephone)  
(678) 420-9301 (facsimile)



## UNITED STATES PATENT AND TRADEMARK OFFICE

UNITED STATES DEPARTMENT OF COMMERCE  
 United States Patent and Trademark Office  
 Address: COMMISSIONER FOR PATENTS  
 P.O. Box 1450  
 Alexandria, Virginia 22313-1450  
 www.uspto.gov

U.S. APPLICATION NUMBER NO.	FIRST NAMED APPLICANT	ATTY. DOCKET NO.
10/551,833	Roman J Giger	21108.0028U2

INTERNATIONAL APPLICATION NO.
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PCT/US04/10328

I.A. FILING DATE	PRIORITY DATE
04/02/2004	04/04/2003

23859  
 NEEDLE & ROSENBERG, P.C.  
 SUITE 1000  
 999 PEACHTREE STREET  
 ATLANTA, GA 30309-3915

CONFIRMATION NO. 3920

371 FORMALITIES LETTER



\*OC000000018892114\*

Date Mailed: 05/22/2006

### NOTIFICATION OF MISSING REQUIREMENTS UNDER 35 U.S.C. 371 IN THE UNITED STATES DESIGNATED/ELECTED OFFICE (DO/EO/US)

The following items have been submitted by the applicant or the IB to the United States Patent and Trademark Office as a Designated / Elected Office (37 CFR 1.495).

- Indication of Small Entity Status
- Copy of the International Application filed on 10/03/2005
- Preliminary Amendments filed on 10/03/2005
- Biochemical Sequence Listing filed on 10/03/2005
- U.S. Basic National Fees filed on 10/03/2005
- Priority Documents filed on 10/03/2005
- Specification filed on 10/03/2005
- Claims filed on 10/03/2005
- Abstracts filed on 10/03/2005
- Drawings filed on 10/03/2005
- Paper nucleotide sequence listings filed on 10/03/2005

*B. H. / S. B. / G. R.*

Needle & Rosenberg

By *[Signature]* DOCKETED Date *5-26-06*

Reviewed \_\_\_\_\_ Name/Date \_\_\_\_\_

Scanned \_\_\_\_\_

RECEIVED

MAY 26 2006

NEEDLE &amp; ROSENBERG

The following items **MUST** be furnished within the period set forth below in order to complete the requirements for acceptance under 35 U.S.C. 371:

- Oath or declaration of the inventors, in compliance with 37 CFR 1.497(a) and (b), identifying the application by the International application number and international filing date.
- This application does not contain a statement that the content of the sequence listing information recorded in computer readable form is identical to the written (on paper or compact disc) sequence listing and, where applicable, includes no new matter, as required by 37 CFR 1.821(e), 1.821(f), 1.821(g), 1.825(b), or 1.825(d). Applicant must provide such statement. If the effective filing date is on or after September 8, 2000, see the final rulemaking notice published in the Federal Register at 65 FR 54604 (September 8, 2000) and 1238 OG 145 (September 19, 2000).
- A copy of the "Sequence Listing" in computer readable form has not been submitted as required by 37

CFR 1.821(e). If the effective filing date is on or after September 8, 2000, see the final rulemaking notice published in the Federal Register at 65 FR 54604 (September 8, 2000) and 1238 OG 145 (September 19, 2000). Applicant must provide an initial computer readable form (CRF) copy of the "Sequence Listing" and a statement that the content of the sequence listing information recorded in computer readable form is identical to the written (on paper or compact disc) sequence listing and, where applicable, includes no new matter, as required by 37 CFR 1.821(e), 1.821(f), 1.821(g), 1.825(b), or 1.825(d). If applicant desires the sequence listing in the instant application to be identical with that of another application on file in the U.S. Patent and Trademark Office, such request in accordance with 37 CFR 1.821(e) may be submitted in lieu of a new CRF.

Additionally the following defects have been observed:

- The International Search Report has not be supplied, the Search Fee has been adjusted to reflect this omission.

**ALL OF THE ITEMS SET FORTH ABOVE MUST BE SUBMITTED WITHIN TWO (2) MONTHS FROM THE DATE OF THIS NOTICE OR BY 32 MONTHS FROM THE PRIORITY DATE FOR THE APPLICATION, WHICHEVER IS LATER. FAILURE TO PROPERLY RESPOND WILL RESULT IN ABANDONMENT.**

The time period set above may be extended by filing a petition and fee for extension of time under the provisions of 37 CFR 1.136(a).

Applicant is cautioned that correction of the above items may cause the specification and drawings page count to exceed 100 pages. If the specification and drawings exceed 100 pages, applicant will need to submit the required application size fee.

**For questions regarding compliance to 37 CFR 1.821-1.825 requirements, please contact:**

- For Rules Interpretation, call (571) 272-0951
- For Patentin Software Program Help, call Patent EBC at 1-866-217-9197 or directly at 703-305-3028 / 703-308-6845 between the hours of 6 a.m. and 12 midnight, Monday through Friday, EST.
- Send e-mail correspondence for Patentin Software Program Help @ [ebc@uspto.gov](mailto:ebc@uspto.gov)

Applicant is reminded that any communications to the United States Patent and Trademark Office must be mailed to the address given in the heading and include the U.S. application no. shown above (37 CFR 1.5)

*A copy of this notice **MUST** be returned with the response.*

KAREN M WILLIAMS

Telephone: (703) 308-9140 EXT 213

**PART 1 - ATTORNEY/APPLICANT COPY**

U.S. APPLICATION NUMBER NO.	INTERNATIONAL APPLICATION NO.	ATTY. DOCKET NO.
10/551,833	PCT/US04/10328	21108.0028U2